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Atty. Dkt. No. 068550-0105

08-06-01  
11-15-01

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant:** Hollerman et al.

**Title:** SYSTEM AND METHOD FOR  
DISPLAYING OPTION MARKET  
INFORMATION

**Appl. No.:** 09/912,709

**Filing Date:** 25 July 2001

<p><b>CERTIFICATE OF MAILING</b></p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below.</p> <p><i>Susan T. Golab</i> (Printed Name)</p> <p><i>Susan T. Golab</i> (Signature)</p> <p><b>7 August 2001</b> (Date of Deposit)</p>
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**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

Atty. Dkt. No. 068550-0105

RELEVANCE OF EACH DOCUMENT

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 06-1450. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 06-1450.

Respectfully submitted,

Date 7 August 2001  
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By   
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**CERTIFICATE OF MAILING  
UNDER 37 CFR 1.8**7 August 2001**Date of Deposit**

I hereby certify that an Information Disclosure Statement (2 pages); Form 1449 (3 pages); and a return postcard are being deposited with the United States Postal Service with sufficient postage as First Class Mail service under 37 CFR 1.8 on the date indicated above, addressed to: Commissioner for Patents, Washington, D.C. 20231.

Susan T. Golab

(Typed or Printed name of  
Person Mailing Statement)

(Signature of Person  
Mailing Statement)

Docket No. 068550/0105

Form PTO-1449  
(MODIFIED)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

068550-0105

SERIAL NO.

09/912,709

## INFORMATION DISCLOSURE CITATION

AUG 09 2001

Use several sheets if necessary)

APPLICANT

Hollerman et al.

FILING DATE

25 July 2001

GROUP ART UNIT

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
		6,173,270	01/09/01	Cristofich et al	705	37	09/23/97
		6,105,005	08/15/00	Fuhrer	705	35	12/18/97
		6,088,685	07/11/00	Kiron et al.	705	36	08/27/98
		5,671,363	09/23/97	Cristofich et al	395	237	06/07/95
		5,557,517	09/17/96	Daughterty, III	364	408	07/29/94
		5,517,406	05/14/96	Harris et al.	364	408	09/01/94
		5,305,200	04/19/94	Hartheimer et al	364	408	11/02/90

## FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
						YES	NO
	WO 01/22315	03/29/01		A2		X	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Help for Pulse Overview, Pulse.cboe.com (1 page).
	Converting a Coca-Cola April 75 Call into Option Symbol KODO, SchaeffersResearch.com (2 pages).
	Differentiating Between In-, At-, and Out-of-the Money Stock Options, SchaeffersResearch.com (1 page).
	Two Types of Stock Option Contracts, SchaeffersResearch.com (1 page).
	Options Basics - What are Options, investopedia.com (1page).
	At the Money, bay-street.investopedia.com (1 page).
	Long Term Equity Anticipation Securities - LEAPS, bay-street.investopedia.com (1 page).
	Defining Stock Options, SchaeffersResearch.com (1 page).
	National Best Bid and Offer - NBBO, bay-street.investopedia.com (1 page).
	American Stock Exchange - AMEX, bay-street.investopedia.com (1 page).

EXAMINER

/Daniel Kesack/

DATE CONSIDERED

04/29/2008

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.

## Hollerman et al.

25 July 2001

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U.S. PATENT DOCUMENTS

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.K./

